



08/15/01

## CERTIFICATE OF EXPRESS MAILING

This transmittal and the documents and/or fees itemized hereon and attached hereto have been deposited as "Express Mail Post Office to Addressee" in accordance with 37 C.F.R. § 1.110 with Express Mail Mailing Label Number: EL831641805US

Attorney Docket No.: 60021.375602

First Named Inventor:

**SLOAN, Ronald E.**

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**UTILITY PATENT APPLICATION TRANSMITTAL (37 CFR. § 1.53(b))**  
(Continuation application)

Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

☐ Duplicate for  
fee processing

Sir: This is a request for filing a patent application under 37 CFR. § 1.53(b) in the name of inventors:  
**Ronald E. Sloan and Stephen B. Slutsky**

For: **FINANCIAL PORTFOLIO RISK MANAGEMENT**

This application is a ☒ Continuation ☐ Divisional ☐ Continuation-in-part

of prior Application No.: **09/705,287** filed on November 1, 2000; **09/431,390** filed on November 1, 1999;  
and **09/580,352** filed on May 25, 2000, as amended by the Preliminary Amendment dated July 20, 2001,  
from which priority under 35 U.S.C. §120 is claimed.

Application Elements:

☒ 69 Pages of Specification, Claims and Abstract

☒ 16 Sheets of **formal/informal** Drawings

☒ 02 Declaration

☐ Newly executed (original or copy)

☒ Copy from a prior application (37 CFR 1.63(d) for a continuation or divisional).  
The entire disclosure of the prior application from which a copy of the declaration is herein supplied is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ Deletion of inventors Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

Accompanying Application Parts:

☐ Assignment and Assignment Recordation Cover Sheet (recording fee of \$40.00 enclosed)

☐ Power of Attorney

- ☐ 37 CFR 3.73(b) Statement by Assignee  
☐ Information Disclosure Statement with Form PTO-1449 ☐ Copies of IDS Citations  
☐ Preliminary Amendment (*New claims numbered after highest original claim in prior application.*)  
☒ Return Receipt Postcard  
☐ Other:

#### Claim For Foreign Priority

- ☐ Priority of \_\_\_\_\_ Application No. \_\_\_\_\_ filed on \_\_\_\_\_  
 is claimed under 35 U.S.C. § 119.  
☐ The certified copy has been filed in prior application U.S. Application No. \_\_\_\_\_  
☐ The certified copy will follow.

#### Extension of Time for Prior Pending Application

- ☒ A Petition for Extension of Time for the Response to Notice to File Missing Parts is being concurrently filed in the prior pending application. A copy of the Petition for Extension of Time is attached.

#### Amendments

- ☒ Amend the specification by inserting before the first line the sentence: "This is a  
☒ Continuation ☐ Continuation-in-part ☐ Divisional  
 application of copending prior  
☒ Application No. 09/705,287 filed on November 1, 2000,  
☐ International Application \_\_\_\_\_ filed on \_\_\_\_\_ which  
 designated the United States,  
 the disclosure of which is incorporated herein by reference."

- ☐ Cancel in this application original claims \_\_\_\_\_ of the prior application  
 before calculating the filing fee. (*At least one original independent claim must be retained.*)

#### Fee Calculation (37 CFR § 1.16)

	(Col. 1) NO. FILED	(Col. 2) NO. EXTRA	SMALL ENTITY RATE FEE	OR	LARGE ENTITY RATE FEE
BASIC FEE			\$345 \$	OR	\$710 \$ 710.00
TOTAL CLAIMS	<u>42</u> -20 = <u>22</u>		x09 = \$	OR	x18 = \$ 396.00
INDEP CLAIMS	<u>03</u> -03 = <u>00</u>		x40 = \$	OR	x80 = \$
[ ] Multiple Dependent Claim Presented			\$130 = \$	OR	\$260 = \$
* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.			Total \$	OR	Total <u>\$1106.00</u>

- ☐ Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ is enclosed.

☒ The Commissioner is authorized to charge any fees which may be required, or to credit any overpayment, to Deposit Account No. 50-0797 (Order No. 60021.375602).

General Authorization for Petition for Extension of Time (37 CFR §1.136)

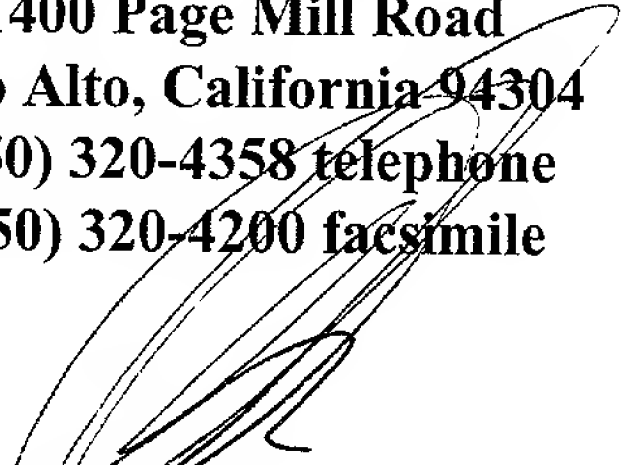
☒ Applicants hereby make and generally authorize any Petitions for Extensions of Time as may be needed for any subsequent filings. The Commissioner is also authorized to charge any extension fees under 37 CFR §1.17 as may be needed to Deposit Account No. 50-0797 (Order No. 60021.375602).

☒ Please send correspondence to the following address:

**OPPENHEIMER WOLFF & DONNELLY, LLP**

1400 Page Mill Road  
Palo Alto, California 94304  
(650) 320-4358 telephone  
(650) 320-4200 facsimile

Date: August 15, 2001

  
\_\_\_\_\_  
**Rambod Nader**  
Registration No. 47,262

SV: 221391 v01 08/15/2001

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of

SLOAN et al.

Application No. 09/705,287

Filed: November 1, 2000

For: FINANCIAL PORTFOLIO RISK  
MANAGEMENT

Examiner: Not assigned

Group Art Unit: Not assigned

Date: August 9, 2001

jc986 U.S. PTO  
09/930786  
08/15/01

COPY

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail to: Commissioner for Patents, Washington, D.C. 20231 on August 9, 2001.

Signed:

Yvonne Mock  
Yvonne Mock

RESPONSE TO NOTICE TO FILE MISSING PARTS

Commissioner for Patents  
**BOX: MISSING PARTS**  
Washington, DC 20231

Sir:

Enclosed herewith are the original, executed Declaration and Power of Attorney for Patent Application and Assignment and Assignment Recordation Sheet in response to the Notice to File Missing Parts of Application--Filing Date Granted mailed January 18, 2001. Please file these documents in the subject application.

Applicant hereby requests a five-month extension of time to August 18, 2001 in which to respond to Notice to File Missing Parts of Application--Filing Date Granted mailed January 18, 2001. The Commissioner is authorized to charge the following fees that are due to our Deposit Account No. 50-0797 (Order No. 60021.375601):

1) Filing Fee	\$ 710.00
2) Assignment Recordation Fee	\$ 40.00
3) 22 excess claims	\$ 396.00
3) Five-month Extension Fee	\$1890.00
4) Missing Parts Surcharge	\$ 130.00
Total	<u>\$3166.00</u>

Respectfully submitted,  
 OPPENHEIMER WOLFF & DONNELLY, LLP

~~Ramhord Nader~~  
~~Reg. No. 47,262~~

1400 Page Mill Road  
Palo Alto, CA 94304  
Phone: (650) 320-4358  
Fax: (650) 320-4200

COPY

[illegible]